

# Complaint & Appeal Resolution Procedure

## 投诉和申诉处理程序

### 1. OBJECTIVE 目的

The purpose of this procedure is:

本程序的目的在于：

- a) To establish a standard and structured process for the handling of Complaints and Appeals received by Extensive Standard Technical Services Co., Ltd. (hereafter called ESTS)  
建立一个标准和结构化的程序，用以管理泛标技术服务有限公司（以下简称 ESTS）收到的投诉和申诉。
- b) To communicate the standard process to all operations to ensure that all complaints and appeals are handled in a professional and responsible manner.  
将这一程序传达给公司各部门，确保所有的投诉和申诉都以一种专业并且负责任的方式得到解决。

### ESTS DEFINITIONS 定义

**Complaint:** An expression of dissatisfaction by any person or organization presented to ESTS relating to the certification activities of ESTS and/or the certification activities of the clients certified by ESTS.

投诉：指任何人或者任何组织对 ESTS 涉及的认证活动或者经由 ESTS 认证的客户认证存在不满。

Note: The **Complaint** could be also the **Grievance** expressed by any interested party related to the certification activities delivered by ESTS.

注：投诉也可以是来自于 ESTS 执行的认证活动有关的任何有利益相关方表示的不满。

In the context of ESTS auditing and certification program, a Complaint shall include:

在 ESTS 审核和认证项目中，投诉应包括以下信息：

- a) Name and contact information of the complainant, and  
投诉人的姓名和联系方式
- b) A clear description of the issue, and  
对投诉的清晰具体描述
- c) Evidences to support each element or aspect of the complaint.  
支撑投诉的各要素或者各方面的证据。

**Appeal:** A request by the client to the ESTS for reconsideration of a Certification Decision or Decision made by ESTS relating to that client.

申诉：指客户对 ESTS 所作认证决定的上诉，客户要求 ESTS 重新审查认证结果或者与该客户有关的认证决定。

In the context of ESTS auditing and certification program, an Appeal shall include:

在 ESTS 审核和认证项目中，申诉应包括以下信息：

- a) Name and contact information of the submitter, and  
申诉提交人的姓名和联系方式
- b) A clear description of the issue, and  
对申诉的清晰具体描述
- c) Evidences to support each element or aspect of the appeal

支撑申诉的各要素或者各方面的证据。

## 2. GENERAL PRINCIPLES 通则

The submission, investigation and decision on complaints or appeals shall avoid any discriminatory actions against the party. This process must be managed as confidential.

投诉和申诉的提交，调查和决策应避免对当事方存在歧视性的行为并且确保将此流程作为机密进行处理。

The aggrieved party could send Complaints and Appeals to ESTS Integrity Committee (hereafter called ESTS IC) by email, the email address ([integrity@estsglobal.com](mailto:integrity@estsglobal.com)) is available on the ESTS website: <https://www.estsglobal.com/en/company/policies>.

投诉或者申诉的当事方可通过电子邮件向 ESTS 廉政委员会(简称: ESTS IC)发送投诉和申诉。电子邮件地址 ([integrity@estsglobal.com](mailto:integrity@estsglobal.com)) 可在 ESTS 官网上找到：  
<https://www.estsglobal.com/en/company/policies>.

**NOTE:** For BRCGS program, a client wishing to dispute a non-conformity shall, within seven (7) calendar days of the audit, submit a dispute to ESTS IC by e-mail. The grounds for the dispute shall be fully documented and supporting information shall be provided.

注：对于 BRCGS 项目，希望就不符合项提出争议的客户应在审核后 7 个日历日内通过电子邮件向 ESTS IC 争议。争议的理由应有充分的文件证明，并提供支持的资料。

**NOTE:** For BRCGS program, a client wishing to exercise its right to appeal a certification decision shall, within seven (7) calendar days of the certification decision, submit the appeal to ESTS IC by e-mail. In line with BRCGS Certification Regulations, appeals received after seven calendar days will not be considered. The grounds for the appeal shall be fully documented and supporting information shall be provided.

注：对于 BRCGS 项目，希望行使其对认证决定提出上诉的权利的客户，应在认证决定作出后的 7 个日历日内，通过电子邮件向 ESTS IC 提交上诉。根据 BRCGS 认证规定，7 个日历日后收到的申诉将不予考虑。上诉的理由应有充分的文件证明，并提供支持资料。

If a complaint is raised against the clients certified by ESTS,

如果是对 ESTS 的客户认证提出投诉：

- a) ESTS shall retain the anonymity of the complainant in relation to their client, if this is requested by the complainant.

如果投诉人提出要求，ESTS 应保留投诉人对其客户的匿名性。

- b) ESTS shall treat it as stakeholder comments and address it during the next ESTS audit, if the complaint is anonymous complaint or an expression of dissatisfaction that are not substantiated as complaint.

ESTS 应将其视为利益相关方的意见并且在下次 ESTS 审核时进行处理。如果投诉是匿名的或者只是表达不满将不会被作为投诉处理。

Complaints and appeals received must be recorded and the details are transmitted to the relevant ESTS services for processing. The relevant ESTS services is responsible for gathering and verifying all necessary information (as far as possible) to progress the complaint or appeal to a decision. The decision resolving the complaint or appeal shall be reviewed and approved by the person not involved in the evaluation related to the complaint or appeal.

收到的投诉和申诉必须做好记录并且将相关细节交由 ESTS 相关部门处理。相关部门负责收集并且（尽快）验证所有必要的信息以推进对投诉或者申诉做出决策。解决投诉或者申诉的决定应由未参与投诉或申诉人员进行审核和批准。

An overall review of complaints or appeals process must be part of the annual Management Review.

对客户投诉和申诉处理过程的整体审查必须作为年度管理评审的一部分。

The present Complaint and Appeal resolution procedure is available in the local language of the countries where ESTS operates auditing and certification. ESTS shall respond to Complaint and Appeal in the same language, or shall agree with the submitter on the language used.

目前的投诉和申诉解决程序以 ESTS 执行审核和认证的所在国家的当地语言提供。ESTS 应以相同的语言回应投诉和申诉，或就所使用的语言与提交人达成一致。

Complainant has the opportunity to refer their complaint to Accreditation Body (AB), such as ASI (AB for FSC; MSC; ASC; RSPO schemes, etc.), JAS-ANZ (AB for BRCGS) and IOAS (AB for TE programs), etc. If the issue has not been resolved through the full implementation of the present procedure, or if the complainant disagrees with the conclusions reached by ESTS and/or is dissatisfied by the way the ESTS handled the complaint. As the ultimate step, the complaint may be referred to Program/Scheme Owner; such as FSC, MSC/ASC, RSPO, BRCGS and TE etc.

如果在充分实施目前的程序后问题任未解决，或者当事人不同意 ESTS 达成的结论，或者对 ESTS 处理投诉的方式不满意，应确保当事方有机会将他们的投诉转交给认可机构，如 ASI (FSC; MSC; ASC; RSPO 等项目认可机构)，JAS-ANZ (BRCGS 项目认可机构)，IOAS (TE 项目的认可机构) 等。如仍需终裁，投诉可被提交给项目拥有机构，比如 FSC, MSC/ASC, RSPO, BRCGS 和 TE 等。

### 3. OVERALL PROCESS STEPS 总体步骤

For each complaint or appeal, the following points must be followed:

对于每个投诉或申诉，应按以下步骤进行：

1) Upon receipt a Complaints or Appeals, ESTS IC shall confirm whether the complaint or appeal relates to ESTS certification activities for which ESTS is responsible and, if so, ESTS IC shall determine which relevant ESTS services is responsible to address it.

接到投诉或者申诉时，ESTS IC 应确认投诉或者申诉是否与 ESTS 负责的认证活动有关。如果是，ESTS IC 应确定哪些部门将负责解决。

Then a suitable qualified internal independent person shall be appointed, by default, Program Manager is appointed. If Program Manager is involved in the evaluation process (audit or decision making) related to the complaint or appeal, a new qualified internal independent person is appointed by ESTS IC.

然后，应委任一个合适的有资质的内部独立人员负责执行，默认该人员为项目经理。若项目经理参与了投诉或者申诉的评估过程（审核或者决策），则由 ESTS IC 重新任命新的有资质的内部独立人员。

2) If the Complaints or Appeals are acceptable, ESTS IC shall acknowledge receipt of a complaint or appeal by email. The complaint and appeal must be recorded by Program Manager or qualified internal independent person, if different.

如果投诉或者申诉是可被可接受的，ESTS IC 应通过邮件的形式告知上诉人请求已收到。投诉和申诉必须由项目经理或者有资质的内部独立人员记录。

3) Program Manager (or qualified internal independent person, if different) provide an initial response, including an outline of the ESTS proposed course of action to follow up on the complaint or appeal, within two (2) weeks<sup>[1][2][3]</sup> of receiving a complaint or appeal.

项目经理（或者有资质的内部独立人员）在收到投诉或者申诉两周内应提供初步回复，包括告知为解决投诉或者申诉一个整体的解决方式概览。

**[1] NOTE:** In the context of MSC program, an initial response shall be provided within ten (10) working days of receiving a complaint or an appeal, instead of two (2) weeks.

**[1] 注：**对于 MSC 认证项目，应在接收到投诉或申诉后的十（10）个工作日内提供初步答复，而不是两（2）周。

**[2] NOTE:** For a dispute about BRCGS program, within seven (7) calendar days of the receipt of the dispute, ESTS will acknowledge receipt of the dispute by formal correspondence with the client, unless a decision is forwarded to the client within seven (7) calendar days of receipt of the dispute.

**[2] 注:** 对于关于 BRCGS 项目的争议, 在收到争议后的 7 个日历日内, ESTS 将通过与客户的正式通信确认收到争议, 除非在收到争议后的 7 个日历日内将决定发送给客户。

**[3] NOTE:** For an appeal about BRCGS program, ESTS will acknowledge receipt of the appeal by formal correspondence with the client, within seven (7) calendar days of the receipt of the appeal.

**[3] 注:** 对于关于 BRCGS 项目的上诉, ESTS 将在收到上诉后的 7 个日历日内通过与客户的正式通信确认收到上诉。

4) Program Manager (or qualified internal independent person, if different) shall monitor the results and keep the complainant(s) / appellant(s) informed of progress in evaluating the complaint or appeal, and have investigated the allegations and specified all its proposed actions in response to the complaint within 3 months of receiving the complaint with the support of relevant ESTS services manager.

在相关部门经理的配合下, 项目经理 (或者有资质的内部独立人员) 必须在收到投诉或者申诉三个月内, 监视处理结果, 告知上诉人评估投诉或者申诉的进展情况, 是否已就有关投诉进行调查, 并就其回应投诉的所有拟议行动作出具体说明。

**NOTE:** For a dispute about BRCGS program, competent personnel who were not involved with the audit process related to the dispute will perform the investigation. The investigation may include a review of the client's documented dispute, related reports, and consultation with the audit team members as well as with the client's management.

**注:**对于关于 BRCGS 项目的争议, 将由未参与与争议有关的审核过程的有能力的人员进行调查。调查可能包括审查客户的争议文件、相关报告, 以及与审核团队成员、客户管理层之间的协商。

**NOTE:** For an appeal about BRCGS program, the appeal will be processed by a panel of three (3) members appointed by ESTS IC. The personnel engaged in the appeals-handling process are different from those that carried out the audits, made the certification decisions, and were involved in the processing of any related dispute. The panel is responsible for investigating, validating, and documenting the resolution of the appeal. Members of the Appeals Panel will make judgment based on facts and evidence provided. The Appeals Panel may elect to hear oral testimony from both parties.

**注:** 对于关于 BRCGS 项目的上诉, 将由被 ESTS IC 委任的 3 名成员组成的委员会进行处理。参与上诉处理过程的人员与执行审核的人员、做了认证决定的人员、以及参与了任何相关争议的处理人员不同。该小组负责调查、确认和记录上诉的决议。上诉委员会成员将根据所提供的事实和证据作出裁决。上诉委员会可以选择听取双方的口头证词。

5) Program Manager (or qualified internal independent person, if different) and ESTS IC shall review and approve the decision resolving the complaint or appeal, and notify the complainant or appeal when the complaint is considered to be closed, meaning that the certification body has gathered and verified all necessary information, investigated the allegations, taken a decision on the complaint and responded to the complainant / appellant.

项目经理 (或者有资质的内部独立人员) 及 ESTS IC 应审查和批准解决投诉和申诉的决定, 并在投诉被视为关闭时告知当事人。这意味着认证机构已经收集并验证了所有的必要信息, 调查了所有指控, 对投诉或者申述做出了决策并且回复了当事人。

**NOTE:** For a dispute about BRCGS program, ESTS will document the decision related to the outcome of the full and thorough investigation and forward it to the client within thirty (30) calendar days of receipt of information related to the dispute. ESTS IC will also inform the client of right to appeal the decision.

**注:** 对于关于 BRCGS 项目的争议, ESTS 将记录与全面彻底调查结果相关的决定, 并在收到与争议相关的信息后的 30 个日历日内将全面调查结果交给客户。ESTS IC 还将告知客户其具有对该决定提出上诉的权利。

**NOTE:** For an appeal about BRCGS program, ESTS will provide the appellant with progress reports (if necessary). ESTS IC will document the decision related to the outcome of the full and thorough investigation and forward it to the client within thirty (30) calendar days of receipt of the appeal. The



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decision of the committee shall be the final decision of ESTS. As per BRCGS Certification Regulations, in the event of an unsuccessful appeal, ESTS has the right to charge costs for conducting the appeal.

注: 对于关于 BRCGS 项目的上诉, ESTS IC 将向上诉人提供进度报告(如有必要)。ESTS 将记录与全面彻底调查的结果相关的决定, 并在收到申诉后的 30 个日历日内将全面调查结果交给客户。委员会的决定为 ESTS 的最终决定。根据 BRCGS 认证规定, 如果上诉不成功, ESTS 有权对上诉收取成本费用。